



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

New York, New York

Date: March 23, 2001

Group Art Unit: 2161

Examiner:

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AUG 03 2001

Technology Center 2100

**REQUEST FOR CORRECTED FILING RECEIPT**

Sir:

Applicants request a Corrected Filing Receipt document for the above identified application.

The addresses of the six inventors as shown in the unsigned Declaration filed with the application are all incorrect. The correct addresses were submitted with a Response to Notice to File Missing Parts of Application on March 14, 2001. We enclose copies of our Response to Notice to File Missing Parts, and a copy of the Filing Receipt with the changes noted thereon, as stipulated in the Filing Receipt, and as noted below:

1. Michael Trenk  
73 Fox Meadow Road  
Scarsdale, NY 10583
2. Judah E. Kaplan  
963 Greenwood Road  
Teaneck, NJ 07666
3. Steven Cohen  
189 Amity Street  
Brooklyn, New York 11201

Rep'n. Ref: 04/06/2001 HUNNE1 0009345400  
 OAH:150700 Name/Number:09760576  
 \$25.00 CR  
 P.C. 704



4. James E. Lewis  
241 East 86<sup>th</sup> Street - Apt. 3A  
New York, NY 10028
5. Fred Slavin  
5 Hope Ct.  
Manalapan, NJ 07726
6. Stephan V. Donelian  
320 West 56<sup>th</sup> Street - Apt. 3K  
New York, NY 10019

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A corrected Filing Receipt is required as a result of applicant's error. Enclosed is our check No. 3919 in the amount of \$25.00.

It is requested that the U.S. Patent and Trademark Office issue a corrected filing receipt at the earliest possible date.

In the event payment of any fee is inadvertently not enclosed, or if any additional fee during the prosecution of this case is not paid, the Patent and Trademark Office is authorized to charge the underpayment to Deposit Account No. 15-0700.

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Office of Initial Patent Examination, Customer Service Center, Washington, DC 20231 on March 23, 2001:

Steven S. Rubin

Name of applicant, assignee or  
Registered Representative

Signature

March 23, 2001

Date of Signature

SIW:SSR:sak

Respectfully submitted,

Steven S. Rubin

Registration No.: 43,063

OSTROLENK, FABER, GERB & SOFFEN, LLP

1180 Avenue of the Americas

New York, New York 10036-8403

Telephone: (212) 382-0700



P/2167-250

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of

Michael Trenk et al.

Date: March 14, 2001

Serial No. : 09/760,576

Group Art Unit: TBA

Filed : January 16, 2001

Examiner: TBA

For : METHOD AND SYSTEM FOR SECURITIZING A FUTURE  
OBLIGATION TO PURCHASE GOODS OR SERVICES

Asst. Commissioner for Patents  
Washington, DC 20231

Attention: Application Branch

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RESPONSE TO NOTICE TO FILE MISSING  
PARTS OF APPLICATION - FILING DATE GRANTED

Sir:

In response to the Notice to File Missing Parts of Application - Filing Date  
Granted, mailed February 28, 2001, submitted herewith is the Inventor(s) Declaration and our  
Check No. 3793 which includes the amount of \$130.00 in payment of the surcharge.

In the event the actual fee is greater than the payment submitted or is  
inadvertently not enclosed or if any additional fee during the prosecution of this application is  
not paid, the Patent Office is authorized to charge the underpayment to Deposit Account  
#15-0700.

If this communication is filed after the time period had elapsed and no separate  
Petition is enclosed, the Commissioner of Patents and Trademarks is petitioned, under 37 C.F.R.  
§1.136(a), to extend the time for filing a response by the number of months which will avoid  
abandonment under 37 C.F.R. §1.135. The fee under 37 C.F.R. § 1.17 should be charged to our  
Deposit Account No. 15-0700.

I hereby certify that this correspondence is being  
deposited with the United States Postal Service with  
sufficient postage as First Class Mail in an envelope  
addressed to: Commissioner of Patents and  
Trademarks, Washington, D.C. 20231, on March 14,  
2001:

Steven S. Rubin

Name of applicant, assignee or  
Registered Representative

Signature

March 14, 2001

Date of Signature

SIW:SSR:sak

Respectfully submitted,

Steven S. Rubin

Registration No.: 43,063

OSTROLENK, FABER, GERB & SOFFEN, LLP

1180 Avenue of the Americas

New York, New York 10036-8403

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UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
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| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|-----------------------|------------------------|
| 09/760,576         | 01/16/2001          | Michael Trenk         | P/2167-250             |

000002352  
OSTROLENK FABER GERB & SOFFEN  
1180 AVENUE OF THE AMERICAS  
NEW YORK, NY 100368403

CONFIRMATION NO. 2902

FORMALITIES LETTER



Date Mailed: 02/28/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

*A copy of this notice MUST be returned with the reply.*

*CSH*

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

| APPLICATION NUMBER | FILING DATE | GRP ART UNIT | FIL FEE REC'D | ATTY. DOCKET NO | DRAWINGS | TOT CLAIMS | IND CLAIMS |
|--------------------|-------------|--------------|---------------|-----------------|----------|------------|------------|
| 09/760,576         | 01/16/2001  | 2161         | 898           | P/2167-250      | 4        | 26         | 4          |

CONFIRMATION NO. 2902

000002352  
OSTROLENK FABER GERB & SOFFEN  
1180 AVENUE OF THE AMERICAS  
NEW YORK, NY 100368403

## FILING RECEIPT



\*OC000000005808901\*

Date Mailed: 02/28/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

- Scarsdale, NY*
- Michael Trenk, ~~New York, NY~~;
  - Judah E. Kaplan, ~~New York, NY~~; *Teaneck, NJ*;
  - Stephan V. Donelian, New York, NY;
  - Fred Slavin, ~~New York, NY~~; *Manalapan, NJ*;
  - Steven Cohen, ~~New York, NY~~; *Brooklyn, NY*;
  - James E. Lewis, New York, NY;

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Continuing Data as Claimed by Applicant

Foreign Applications

If Required, Foreign Filing License Granted 02/27/2001

Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

Title

Method and system for securitizing a future obligation to purchase goods or services



Preliminary Class  
705

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Data entry by : HERNANDEZ, JESUSA

Team : OIPE

Date: 02/28/2001



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Technology Center 2100

**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 36 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15 (b).

**PLEASE NOTE the following information about the Filing Receipt:**

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 600 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:



Assistant Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, DC 20231

|                          |   |
|--------------------------|---|
| USDC FILE No. P/2167-250 |   |
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| UB                       |   |



**FILE COPY****UNITED STATES PATENT AND TRADEMARK OFFICE**

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UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov



Bib Data Sheet

**CONFIRMATION NO. 2902**

|  |   |                                |   |  |
|--|---|--------------------------------|---|--|
| <b>SERIAL NUMBER</b><br>09/760,576   | <b>FILING DATE</b><br>01/16/2001<br><b>RULE</b>   | <b>CLASS</b><br>705            | <b>GROUP ART UNIT</b><br>2164   | <b>ATTORNEY DOCKET NO.</b><br>P/2167-250 |
| <b>APPLICANTS</b><br>Michael Trenk, Scarsdale, NY;<br>Judah E. Kaplan, Teaneck, NJ;<br>Steven Cohen, Brooklyn, NY;<br>James E. Lewis, New York, NY;<br>Fred Slavin, Manalapan, NJ;<br>Stephan V. Donelian, New York, NY;   |   |                                |   |  |
| <b>** CONTINUING DATA *****</b>  |   |                                |   |  |
| <b>** FOREIGN APPLICATIONS *****</b>   |   |                                |   |  |
| <b>IF REQUIRED, FOREIGN FILING LICENSE GRANTED</b><br><b>** 02/27/2001</b>   |   |                                |   |  |
| Foreign Priority claimed <input type="checkbox"/> yes <input type="checkbox"/> no<br>35 USC 119 (a-d) conditions met <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> Met after Allowance |   | <b>STATE OR COUNTRY</b><br>NY  | <b>SHEETS DRAWING</b><br>4  | <b>TOTAL CLAIMS</b><br>26                |
| Verified and Acknowledged<br>Examiner's Signature _____ Initials _____   |   | <b>INDEPENDENT CLAIMS</b><br>4 |   |  |
| <b>ADDRESS</b><br>000002352  |   |                                |   |  |
| <b>TITLE</b><br>Method and system for securitizing a future obligation to purchase goods or services   |   |                                |   |  |
| <b>FILING FEE RECEIVED</b><br>1028   | FEES: Authority has been given in Paper<br>No. _____ to charge/credit DEPOSIT ACCOUNT<br>No. _____ for following: |                                | <input type="checkbox"/> All Fees<br><input type="checkbox"/> 1.16 Fees ( Filing )<br><input type="checkbox"/> 1.17 Fees ( Processing Ext. of time )<br><input type="checkbox"/> 1.18 Fees ( Issue )<br><input type="checkbox"/> Other _____<br><input type="checkbox"/> Credit |  |